

02-24-03

2874



**TRANSMITTAL LETTER**  
(General - Patent Pending)

Docket No.  
UC97-156-8

In Re Application Of: OLAV SOLGAARD ET AL.

Serial No.  
09/849,096

Filing Date  
MAY 4, 2001

Examiner  
LEE, JOHN D.

Group Art Unit  
2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

1. Transmittal of Information Disclosure Statement (Page 1 & 2);
2. Information Disclosure Citation (PTO-1449) (Page 1 & 2);
3. Statement Under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1) and;
4. Citations (10).

in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
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Dated: 2/19/03

JOHN P. O'BANION, REG. NO. 33,201  
O'BANION & RITCHEY LLP  
400 CAPITOL MALL, SUITE 1550  
SACRAMENTO, CA 95814  
(916) 498-1010

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CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **OLAV SOLGAARD ET AL.**

Docket No.

**UC97-156-8**

Serial No.

**09/849,096**

Filing Date

**MAY 4, 2001**

Examiner

**LEE, JOHN D.**

Group Art Unit

**2874**Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

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**Transmittal Letter (Page 1)***(Identify type of correspondence)*

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
UC97-156-8In Re Application Of: **OLAV SOLGAARD ET AL.**Serial No.  
09/849,096Filing Date  
MAY 4, 2001Examiner  
LEE, JOHN D.Group Art Unit  
2874Title: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☒ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).RECEIVED  
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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
UC97-156-8

In Re Application: **OLAV SOLGAARD ET AL.**

Serial No.  
09/849,056

Filing Date  
MAY 4, 2001

Examiner  
LEE, JOHN D.

Group Art Unit  
2874

**MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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**O'BANION & RITCHEY LLP**  
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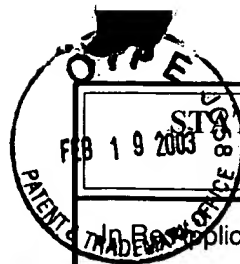
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<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. UC97-156-8	
Applicant(s): OLAV S. LARSEN ET AL.				
Serial No. 09/849,096	FEB 19 2003	Filing Date MAY 4, 2001	Examiner LEE, JOHN D.	Group Art Unit 2874
Invention: MULTIWAVELENGTH CROSS-CONNECT OPTICAL SWITCH				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 50px;"><p>Transmittal of Information Disclosure Statement (Page 1 &amp; 2)</p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p style="text-align: center;"><u>02/19/03</u> (Date)</p> <div style="text-align: right; margin-top: 20px;"><p>_____ Jerry V. King <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p><p>_____ <i>(Signature of Person Mailing Correspondence)</i></p><p>_____ EV193318131US <i>("Express Mail" Mailing Label Number)</i></p></div>				
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STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

Docket No.  
UC97-156-8

Application Of: OLAV SOLGAARD ET AL.

Serial No.  
09/849,096

Filing Date  
MAY 4, 2001

Examiner  
LEE, JOHN D.

Group Art Unit  
2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

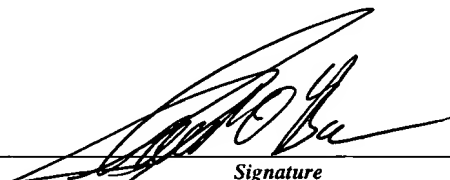
Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

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Applicant(s): OLAV SOLGAARD ET AL.

Docket No.

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MAY 4, 2001Examiner  
LEE, JOHN D.Group Art Unit  
2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

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Statement under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1)

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Applicant(s): OLAV SOLGAARD ET AL.

Docket No.

UC97-156-8

Serial No.

09/849,096

Filing Date

FEB 19 2003 MAY 4, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

Invention: MULTIWAVELENGTH CROSS-CONNECT OPTICAL SWITCH

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Applicant(s): <b>OLAY SOLAARD ET AL.</b>		UC97-156-8	
Serial No. 09/849,096	Filing Date MAY 4, 2001	Examiner LEE, JOHN D.	Group Art Unit 2874
Invention: <b>MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH</b>			
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